PTO/SB/08A (04-07)

Approved for use through 09/30/2007. OMB 0851-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 2

Coi	Complete if Known				
Application Number	10/840,188				
Filing Date	May 05, 2004				
First Named Inventor	Mark Mathis				
Art Unit	3731				
Examiner Name	NGUYEN, TUAN VAN				
Attorney Docket Number	10057-719.201				

			U. S. PATEN	r documents	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (f known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/TN/	233	^{US-} 5,800,519	09/01/1998	Sandock, David	
/TN/	234	^{US-} 6,241,757	06/05/2001	An et al.	
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Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ "Number ⁴ "Kind Code ³ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T.
/TN/	235	WO 03049648-A2	06/19/2003	Cardiac Dimensions, Inc.		
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Examiner Signature	/Tuan Nguyen/	Date Considered	10/26/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Substitu	te for form 1449/PTC	,		Application Number	10/840,188	
INF	ORMATIO	N DIS	SCLOSURE	Filing Date	May 05, 2004	
STA	TEMENT	BY A	PPLICANT	First Named Inventor	Mark Mathis	
		. 4		Art Unit	3731	
-	(Use as many s	neets as i	10C03Sary)	Examiner Name	NGUYEN, TUAN VAN	
Sheet	2	of	2	Attorney Docket Number	10057-719.201	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/TN/	237	MATHIS et al., U.S. Patent App. # 11/782,490 entitled "Device and method for modifying the shape of a body organ, " filed 7/24/2007.	
/TN/	238	Mathis et al., U.S. Patent App. # 11/782,508, entitled "Device and method for modifying the shape of a body organ, " filed 7/24/2007.	
/TN/	239	Mathis et al., U.S. Patent App. # 11/782,527 entitled "Device and method for modifying the shape of a body organ, " filed 7/24/2007.	
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Signature / Tudit Nguyetii Considered	Examiner Signature	/Tuan Nguyen/	Date Considered	10/26/2007
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Substitute for form 1449/PTO	Application Number	10/840,188
	Filing Date	May 05, 2004
INFORMATION DISCLOSURE	First Named Inventor	Mark Mathis
STATEMENT BY APPLICANT	Art Unit	3731
(Use as many sheets as necessary)	Examiner Name	NGUYEN, TUAN VAN
theet 1 of 1	Attorney Docket Number	10057-719.201

		The state of the s	Publication Date	DOCUMENTS Name of Patentee or	Pages, Columns, Unes, Where
Examiner	Cite No.	Document Number	MM-DD-YYYY	Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ^{2 (F known)}			Figures Appear
/TN/	231	US- 2002/0161377 A1	10/31/2002	Rebkin et al.	
TN/	232	^{US-} 6,183,512	02/08/2001	Howanec et al.	
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Examiner Signature	/Tuan Mauyen/	. Date Considered	10/26/2007

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Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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of 4

Complete if Known **Application Number** 10/840,188 Filing Date May 05, 2004 First Named Inventor Mark Mathis Art Unit 3731 Nguyen, Tuan Van **Examiner Name** 10057-719.201 Attorney Docket Number -

Examiner	Can	Decument Number	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where
Examiner Cite No.1		Document Number Number-Kind Code ^{2 (F known)}	MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear
/TN/	24	^{US-} 2003/0083613	5/1/2003	Schaer	
	49	^{US-} 2004/0193260	9/30/2004	Alfemess et al.	
	50	US- 2004/0220654	11/4/2004	Mathis et al.	
	51	^{US-} 2004/0220657	11/4/2004	Nieminen et al.	
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	55	^{US-} 2005/0004667	1/6/2005	Swinford et al.	
	57	^{US-} 2005/0021121	1/27/2005	Reuter et al.	
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W	75	^{US-} 2005/0197693	9/8/2005	Pai et al.	

Examiner initials*	Cite No.1	Cite Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	٦٩
			MM-DD-YYYY		Or Relevant Figures Appear	
/TN/	180	EP 0903110 A1	3/24/1999	B. Braun Medical Inc.		
ı	181	EP 0968688 A1	1/5/2000	Cordis Europa N. V.		
1/	188	WO 00/74603 A1	12/14/2000	Colvin et al.		
V	201	WO 02/060352 A1	8/8/2002	Mitralife	*	

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Signature		Considered	

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Transition is attached.

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO Application Number 10/840,188 Filing Date May 05, 2004 INFORMATION DISCLOSURE First Named Inventor Mark Mathis STATEMENT BY APPLICANT Art Unit 3731 (Use as many sheets as necessary) Nguyen, Tuan Van **Examiner Name** Attorney Docket Number 10057-719.201

Sheet 2

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Examiner Initials*	Cite No.1		MM-DD-YYYY	Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevan Figures Appear
/TN/	76	^{US-} 2005/0197694	9/8/2005	Pai et al.	
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	78	^{US-} 2005/0216077	9/29/2005	Mathis et al.	
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	81	^{US-} 2005/0272969	12/8/2005	Alferness et al.	
	82	^{US-} 2006/0020335	1/26/2006	Kowalsky et al.	
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<u> </u>	86	^{US-} 2006/0161169	7/20/2006	Nieminen et al.	
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Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	l
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Signature	•	Considered	•

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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 Application Number
 10/840188

 Filing Date
 May 05, 2004

 First Named Inventor
 Mark Mathis

 Art Unit
 3731

 Examiner Name
 Nguyen, Tuan Van

 Attorney Docket Number
 10057-719.201

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/TN/	119	^{US-} 5,978,705	11/2/1999	KenKnight et al.	
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	135	^{US-} 6,345,198	2/5/2002	Mouchawar et al.	
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1/	172	us- 6,964,683	11/15/2005	Kowalsky et al.	
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	FORE	IGN PATENT DOCU	MENTS		
Cite No.	Cite Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
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		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/TN/	178	Mathis, et al; U.S. Pat. App. # 11/279,352, entitled "Mitral Valve Annuloplasty Device with Vena Cava Anchor," filed 04/11/2006 (SLG # 10057-739.201).	
/TN/	229	Mathis, Mark; U.S. Pat. App. # 11/655,710, entitled "Mitral Valve Device Using Conditioned Shape Memory Alloy," filed 1/18/2007 (SLG # 10057-714.301).	
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/TN/	220	Heartsite.com. Echocardiogram, 1999; p.1-4. A.S.M. Systems Inc. Available at: http://www.heartsite.com/html/echocardiogram.html. Accessed July 1, 2005.	
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Examiner		Date	10/26/2007
Signature	/Tuan Nguyen/	Considered	10/26/2007

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ENFORMATION DISCLOSURE
ESTATEMENT BY APPLICANT

ATEMENT BY APPLICANT
(Use as many sheets as necessary)

Application Number 10/840,188

Filing Date May 5, 2004

First Named Inventor Mark Mathis

Art Unit 1614

Examiner Name Not yet assigned

 Sheet
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 Attorney Docket Number
 29912-719.201

		U.S. PA	ATENT DOC	UMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/TN/ ·		US-2001/0018611	08/30/2001	Solem et al.	• •
I		US-2001/0044568	11/22/2001	Langberg et al.	
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29912-719.201

	Complete if Known		
Substitute for form 1449/PTO	Application Number	10/840,188	
INFORMATION DISCLOSURE	Filing Date	May 5, 2004	
STATEMENT BY APPLICANT	First Named Inventor	Mark Mathis	
(Use as many sheets as necessary)	Art Unit	1614	
•	Examiner Name	Not yet assigned	

Attorney Docket Number

U.S. PATENT DOCUMENTS							
Examiner Initials*	Cite No.	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
/TN/	 .	US-2003/0144697	07/31/2003	Mathis et al.	rigues Appear		
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•	 	US-2003/0225454	12/04/2003	Mathis et al.			
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<u> </u>		US-2004/0111095	06/10/2004	Gordon et al.			
	 -	US-2004/0127982	07/01/2004	Machold et al.	· · · · · · · · · · · · · · · · · · ·		
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V		US-2005/0027351	02/03/2005	Reuter et al.			
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				Complete if Known	
Substitute for form 1449/PTO				Application Number	10/840,188
INFORMATION DISCLOSURE			LOSURE	Filing Date	May 5, 2004
	STATEMENT BY APPLICANT			First Named Inventor	Mark Mathis
(Use a	s many shee	ts as ne	cessary)	Art Unit	1614
		Examiner Name	Not yet assigned		
Sheet	3	of	8	Attorney Docket Number	29912-719.201

U.S. PATENT DOCUMENTS							
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Whère Relevant Passages or Relevant Figures Appear		
/TN/		US-2005/0137450	06/23/2005	Aronson et al.			
		US-2005/0137451	06/23/2005	Gordon et al.			
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Examiner	Date
Signature	Considered

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Sheet	4	of	8	Attorney Docket Number	29912-719.201

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/TN/		US-5,895,391	04/20/1999	Farnholtz	
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		US-5,935,161	08/10/1999	Robinson et al	
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Examiner	Date .
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Sheet	5	of	8	Attorney Docket Number	29912-719.201	

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/TN/		US-6,442,427	08/27/2002	Boute et al.			
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	1	US-6,569,198	05/27/2003	Wilson et al.	····		
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1.	<u> </u>	US-6,716,158	04/06/2004	Raman et al.			
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(Use as many sheets as necessary)			cessary)	Art Unit	1614	
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Sheet	6	of	8	Attorney Docket Number	29912-719.201	

		FOREIGN	PATENT DO	CUMENTS		
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/TN/		EP 0893133	01/27/1999	Medex	Relevant Figures Appear	1
		EP 1050274-A1	11/08/2000	Medical Industries Corporation		
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		GB 0741604	12/07/1955	S. & R. J. Everett & Company		
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		WO 02/000099-A2	01/03/2002	Viacor, Inc.		T
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		WO 02/076284-A2	10/03/2002	Viacor, Inc.		T
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1/		WQ 02/096275-A2	12/05/2002	Viacor, Inc.		T
Ψ		WO 03/015611-A2	02/27/2003	Viacor, Inc.	1	T

Examiner	Date
Signature	Considered

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Substitute f	or form 144	9/PTO	•	Application Number	10/840,188	
INFORM	IATION	DISCI	LOSURE	Filing Date	May 5, 2004	
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/TN/		WO 03/049647-A1	06/19/2003	Reitan	Relevant i iguies Appeal	1
/		WO 03/059198-A2	07/24/2003	Viacor, Inc.	<u> </u>	H
		WO 03/063735-A2	08/07/2003	Cardiac Dimensions, Inc.		\vdash
		WO 04/045463-A2	06/03/2004	Advanced Cardiovascular Systems		r
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/Tuan Nguyen/

Considered

10/26/2007

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				First Named Inventor	Mark Mathis		
				Art Unit	1614		
			•	Examiner Name	Not yet assigned		
Sheet	8	of	8	Attorney Docket Number	29912-719.201		

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0		Papageorgiou, P., et al., "Coronary Sinus Pacing Prevents Induction of Atrial Fibrillation," Circulation 96: 1893-1898, Sept. 16, 1977.	
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